

PRE-SERVICE policies and procedures checklist

Agency's Page #	Section of Reg	POLICY/PROCEDURE
	3	Written criteria for determining the eligibility of an individual for admission to services, including a protocol for admitting individual for services
	3	Procedure for documenting any denial for a service , the reason for the denial, and resources necessary to successfully support the denied SCL recipient
	2	Policy and procedures for termination , both voluntary and involuntary. <ul style="list-style-type: none"> • Transition planning for individual's admitted to and terminated from the agency.
	3	Written statement of missions and values which should;
	3	<ul style="list-style-type: none"> • Support empowerment and informed decision-making
	3	<ul style="list-style-type: none"> • Support and assist people to remain connected to natural support networks
	3	<ul style="list-style-type: none"> • Promote dignity and self-worth
	3	Policies supportive of: <ul style="list-style-type: none"> • The right to time, space, and opportunity for personal privacy • The right to communicate, associate, and meet privately with the person of their choice. • The right to send and receive unopened mail. • The right to retain and use personal possessions including clothing and grooming articles • The right to private, accessible use of the telephone.
	3	Have a grievance and appeals system that includes an external mechanism for review of complaints.
	3	Written policies and procedures for communication and interaction with the families and legal representatives of SCL recipients which shall require;
	3	<ul style="list-style-type: none"> • Timely response to inquiries
	3	<ul style="list-style-type: none"> • Opportunity for interaction by direct care staff
	3	<ul style="list-style-type: none"> • Prompt notification of unusual occurrences
	3	<ul style="list-style-type: none"> • Visitation to the SCL recipient at reasonable times, without prior notice, and with due regard for the SCL recipient's right of privacy.
	3	<ul style="list-style-type: none"> • Involvement in decision making regarding the selection and direction of the services provided.
	3	<ul style="list-style-type: none"> • Consider the cultural, educational, language, and socio-economic characteristics of the family being supported
	3	Maintenance of fiscal and service records and incident reports for a minimum of six years from the date the service is provided, or six years past the age of 21 for a minor.
	8	Procedure to ensure confidentiality of the SCL recipient's record and other personal info and to allow the recipient or legal representative to determine when to share info
	3	Written procedure for the availability of the record to the SCL recipient or legal guardian
	3	Role of the Board of Directors in the operation of the agency (appoint/evaluate ED, orient members, meet quarterly)
	3	Delegation of the authority and responsibility for the management of the affairs of the agency
	3	Written personnel guidelines for each employee (salary, vacation/leave, health ins., retirement, continuing ed., and grievance procedures) <ul style="list-style-type: none"> • Procedure for evaluation of employees after probation period and annually thereafter. • Procedure for corrective action.
	3	Which includes policies in compliance with waiver requirements for <ul style="list-style-type: none"> • TB risk assessment & if indicated a TB skin test

		<ul style="list-style-type: none"> • AOC checks, Nurse aide registry, Central Registry (CHFS – child abuse or neglect) • Not employ an individual with a conviction as delineated in the regulation (abuse, neglect or exploitation, any drug related conviction during the past 5 years, felony) • Not employ someone to transport an SCL recipient, if the person has a DUI conviction during the past year
	3	Written qualifications in policy and/or job descriptions match regulatory requirements (ED, Program Director, Supervisory Staff, Direct Support Staff, other)
	3	Policies regarding competency-based training to each employee <ul style="list-style-type: none"> • Include specific training requirements and time frames • Orientation to mission, goals, organization, and practice of the agency
	3	Establish policy & guidelines concerning the operation of the agency that address the health, safety and welfare of a SCL recipient supported by the agency.
	3	Policies in compliance with waiver requirements for maintenance of sanitary conditions
	3	Written procedures concerning the presence of deadly weapons as defined in KRS 500.80
	3	Written procedures concerning the safe storage of common household items .
	3	Policies in compliance with waiver requirements for medication administration procedures including storage, documentation of all medication administered on a medication log, documentation of PRN effectiveness, disposal and discontinuance of medication & protocol for PRN behavior medication.
	3	Polices for ongoing monitoring of medication administration (multi-level), including identification of position responsible for monitoring at service sites.
	3	Written guidelines for handling an emergency or a disaster including <ul style="list-style-type: none"> • Emergency supplies • Guidelines/procedures for evacuation or ensuring safe shelter • Procedures for notification of agency administration, guardians/family members, and others.
	3	Policies in compliance with waiver requirements for: <ul style="list-style-type: none"> • Notification procedures and alarm and signal systems to alert an SCL recipient according to his or her disability. • Evacuation drills be conducted, documented, evaluated, and modified (if needed).
	5	Policies and protocols for incident reporting per DMR requirements.
	3	Policies in compliance with waiver requirements for Abuse, Neglect, and Exploitation including definitions and protocols for reporting.
	4	Policies regarding appropriate and acceptable methods of positive behavior supports including: <ul style="list-style-type: none"> • Hierarchy of behavior interventions ranging from the least to the most restrictive • Reflect positive approaches • Prohibit the use of prone or supine restraint, corporal punishment, seclusion, verbal abuse, and any procedure which denies private communication, requisite sleep, shelter, bedding, food, drink, or use of a bathroom.
	3	Policies and procedures for management of recipient funds including <ul style="list-style-type: none"> • Protocols for disbursement of funds to the individual, including spending money. • Separate accounting • Providing to the recipient or legal representative account balances and records of transactions on a quarterly balance • Notification of large balances that may affect Medicaid eligibility
	3	Policy outlining implementation of Quality Improvement Plan which includes SCL Outcomes

Appendix I

	4	For services chosen, appropriate definitions and procedures for ensuring compliance with documentation requirements.
	4	Human Rights Committee role, responsibilities, membership (Case Mgmt only)
	4	Behavior Intervention Committee role, responsibilities, membership (Case Mgmt only)